

# Information Request

Name \_\_\_\_\_ Date \_\_\_\_\_ Mailed \_\_\_\_\_

Company \_\_\_\_\_ Initials \_\_\_\_\_ ☐ Return

Address \_\_\_\_\_ Phone \_\_\_\_\_

FAX \_\_\_\_\_

## Securities

- ☐ Washington Securities Act (RCW) ☐ Policy and Interpretive Statements  
☐ WAC Booklet — Chapter No.(s) \_\_\_\_\_ ☐ Consent to Service of Process (U-2)

## Registrations

- ☐ Coordination Application (U-1) ☐ Stock Escrow Agreement  
☐ Qualification Application ☐ Impound Report Form  
☐ Quasi-Government Bond Application ☐ Quarterly Report Form  
☐ Mortgage Paper Securities Application ☐ Quarterly Report Form - Deb. Co  
☐ Mortgage Sample Specific Offering Circular  
Sample Offering Circular:  
☐ General ☐ Limited Partnership

## Exemptions

- ☐ Form D—Reg D Rules 504,505, or 506 ☐ Guidelines on “Offered to the Public”  
☐ Notice of Exemption—Rules 504 & 147 ☐ Notice of Exemption—Non-Profit  
☐ Report of Sales—Rules 504,505, 506, or CLOE ☐ Notice of Exemption—Co-op/Mutual Assns.

## Small Business

- ☐ CLOE Form . . . . . ☐ Disk Word 6 ☐ Paper ☐ Options for Small Business in the Securities Market  
☐ SCOR Form . . . . . ☐ Disk (WP5.) ☐ Word 6 ☐ Small Business Packet (So You Want to go Public)  
Paper  
☐ Issuer's Manual . . . . ☐ Disk WP 5.1 ☐ Disk Word 6

## Broker-Dealer

- ☐ Broker-Dealer Application Packet ☐ Investment Adviser Application Packet  
☐ Form BD-W ☐ U-5 Agent Termination ☐ Form ADV-W  
☐ U-4 Salesperson ☐ U-10 Exams

## Franchise

- ☐ Franchise Investment Protection Act & Rules ☐ Commodity Transactions Act (RCW)  
☐ Franchise Registration Application Packet ☐ Commodity Broker-Dealer Registration Application  
☐ Surety Bond (see CCH Business franchise Guide ¶5835)

## Business Opportunity

- ☐ Business Opportunity Fraud Act (RCW) ☐ Enforcement-Inquiry  
☐ Business Opportunity Registration Application ☐ Broker-Dealer

## Other

- ☐ Public Records Request  
NASAA Policy on \_\_\_\_\_  
☐ REIT ☐ Church Bonds ☐ Options & Warrants  
☐ Affiliated Transactions ☐ Promotional Shares  
☐ Other

